

Rec'd PCT/PTO 23 JAN 2002

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#3  
with  
Sees



Please Quote  
Our ref. 1038-1176 MIS

Our ref. -

Writer's Ext. 239

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January 22, 2002

Via Courier

The Commissioner of Patents  
and Trademarks  
Box Missing Parts  
Washington, DC 20231  
U.S.A.

Dear sir:

RE: US Patent Application No. 09/914,205  
Applicant: Charles D.Y. Sia  
Title: EXPRESSING GP140 FRAGMENT OF  
PRIMARY HIV-1 ISOLATE

In response to the Notification of Missing Requirements under 35 U.S.C. 371,  
submitted herewith are:


1. Declaration signed by the inventors and referring to the PCT filing by number and filing date.
2. ~~Cheque in the amount of the Surcharge fee~~
3. Copy of Notice

Petition is hereby made under the provisions of 37 CFR 1.136(a) for an extension of one month of the period for response to the Notification of Missing Requirement. The enclosed cheque includes the prescribed fee.

01/28/2002 UEDUVIJE 00000138 09914205

01 FC:154 130.00 OP  
02 FC:115 110.00 OP

Yours very truly,

  
Michael I. Stewart  
Reg. No. 24,973

M.I. Stewart/jb  
Enclosure(s)



JC07 Rec'd PCT/PTO 23 JAN 2002 PCT#

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

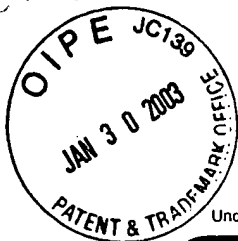
<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application	09/914,205	
	Filing Date		
	First Named	Charles D.Y. Sia	
	Group Art Unit		
	Examiner Name		
Total Number of Pages in This Submission	8	Attorney Docket Number	1038-1176 MIS

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Covering Letter
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Michael I. Stewart (Reg. No. 24,973)
Signature	<i>Michael I. Stewart</i>
Date	January 22, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: <input type="text"/>			
Typed or printed name			
Signature		Date	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



DT20 Rec'd PCTO 30 JAN 2003 PCT \$

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application	09/914,205	
	Filing Date	August 23, 2001	
	First Named	Charles D. Y. Sia et al.	
	Group Art Unit		
	Examiner Name		
Total Number of Pages in This Submission	49	Attorney Docket Number	1038-1176 MIS

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<b>RENEWED PETITION UNDER 37 CFR 1.47(a)</b>
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	MICHAEL I. STEWART REGISTRATION NO. 24,973
Signature	
Date	JANUARY 29, 2003

CERTIFICATE OF MAILING			
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Typed or printed name			
Signature		Date	

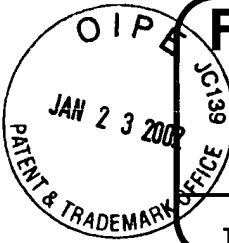
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Rec'd PCT/PTO 23 JAN 2002

PTO/SB/17 (XX-XX)

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

Application Number	09/914,205
Filing Date	
First Named Inventor	Charles D.Y. Sia
Examiner Name	
Group Art Unit	
Attorney Docket No.	1038-1176 MIS

TOTAL AMOUNT OF PAYMENT **\$240.00**

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number   
Deposit Account Name

- ☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR § 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101 740	201 370		Utility filing fee	<input type="text"/>
106 330	206 165		Design filing fee	<input type="text"/>
107 510	207 255		Plant filing fee	<input type="text"/>
108 740	208 370		Reissue filing fee	<input type="text"/>
114 160	214 80		Provisional filing fee	<input type="text"/>

SUBTOTAL (1)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
<input type="text"/>	-20** = <input type="text"/>	X <input type="text"/>	= <input type="text"/> 0.00
<input type="text"/>	-3** = <input type="text"/>	X <input type="text"/>	= <input type="text"/> 0.00
<input type="text"/>	Multiple Dependent	<input type="text"/>	= <input type="text"/>

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
103 18	203 9		Claims in excess of 20	<input type="text"/>
102 84	202 42		Independent claims in excess of 3	<input type="text"/>
104 280	204 140		Multiple dependent claim, if not paid	<input type="text"/>
109 84	209 42		** Reissue independent claims over original patent	<input type="text"/>
110 18	210 9		** Reissue claims in excess of 20 and over original patent	<input type="text"/>

SUBTOTAL (2) **\$0.00**

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
105 130	205 65		Surcharge - late filing fee or oath	<input type="text"/> 130.00
127 50	227 25		Surcharge - late provisional filing fee or cover sheet	<input type="text"/>
139 130	139 130		Non - English specification	<input type="text"/>
147 2,520	147 2,520		For filing a request for ex parte reexamination	<input type="text"/>
112 920*	112 920*		Requesting publication of SIR prior to Examiner action	<input type="text"/>
113 1,840*	113 1,840*		Requesting publication of SIR after Examiner action	<input type="text"/>
115 110	215 55		Extension for reply within first month	<input type="text"/> 110.00
116 400	216 200		Extension for reply within second month	<input type="text"/>
117 920	217 460		Extension for reply within third month	<input type="text"/>
118 1,440	218 720		Extension for reply within fourth month	<input type="text"/>
128 1,960	228 980		Extension for reply within fifth month	<input type="text"/>
119 320	219 160		Notice of Appeal	<input type="text"/>
120 320	220 160		Filing a brief in support of an appeal	<input type="text"/>
121 280	221 140		Request for oral hearing	<input type="text"/>
138 1,510	138 1,510		Petition to institute a public use proceeding	<input type="text"/>
140 110	240 55		Petition to revive - unavoidable	<input type="text"/>
141 1,280	241 640		Petition to revive - unintentional	<input type="text"/>
142 1,280	242 640		Utility issue fee (or reissue)	<input type="text"/>
143 460	243 230		Design issue fee	<input type="text"/>
144 620	244 310		Plant issue fee	<input type="text"/>
122 130	122 130		Petitions to the Commissioner	<input type="text"/>
123 50	123 50		Processing fee under 37 CFR § 1.17(q)	<input type="text"/>
126 180	126 180		Submission of Information Disclosure Statement	<input type="text"/>
581 40	581 40		Recording each patent assignment per property (times number of properties)	<input type="text"/>
146 740	246 370		Filing a submission after final rejection (37 CFR § 1.129(a))	<input type="text"/>
149 740	249 370		For each additional invention to be examined (37 CFR § 1.129(b))	<input type="text"/>
179 740	279 370		Request for Continued Examination (RCE)	<input type="text"/>
169 900	169 900		Request for expedited examination of a design application	<input type="text"/>
Other fee (specify) <input type="text"/>				<input type="text"/>

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) **\$240.00**

## SUBMITTED BY

Name (Print/Type) **Michael I. Stewart**  
Signature


Registration No. **24,973**  
(Attorney/Agent)

## Complete (if applicable)

Telephone **(416) 595-1155**  
Date **January 22, 2002**

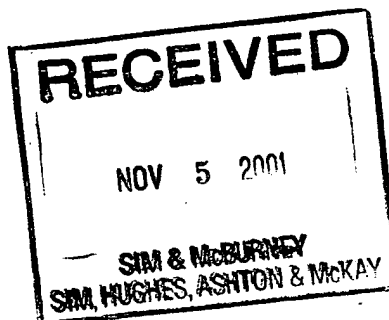
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 <small>Commissioner for Patents, Box PCT, United States Patent and Trademark Office, Washington, D.C. 20231, www.uspto.gov</small>		
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U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/914,205	Charles D. Y. Sia	1038-1176 MIS:JB

24223  
SIM & MCBURNEY  
330 UNIVERSITY AVENUE  
6TH FLOOR  
TORONTO, ON M5G 1R7  
CANADA



INTERNATIONAL APPLICATION NO.	
PCT/CA00/00190	
I.A. FILING DATE	PRIORITY DATE
02/24/2000	02/24/1999

CONFIRMATION NO. 1791  
371 FORMALITIES LETTER



Date Mailed: 10/23/2001

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is **\$130** for a Large Entity:

- **\$130** Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

PAULETTE R KIDWELL

Telephone: (703) 305-3656

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/914,205	PCT/CA00/00190	1038-1176 MIS:JB